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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/827,333

04/06/2001

Syed K. Quraishi

62225-160

2977

7590 10/09/2007
MCDERMOTT, WILL & EMERY
600 13th Street, N.W.
Washington, DC 20005-3096

EXAMINER

CHENCINSKI, SIEGFRIED E

ART UNIT

PAPER NUMBER

3691

MAIL DATE

DELIVERY MODE

10/09/2007

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 09/827,333	Applicant(s) QURAISHI ET AL.	
	Examiner Siegfried E. Chencinski	Art Unit 3692	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 23 March 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 6-13, 16, 17, 22, 24 and 26 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 6-13, 16, 17, 22, 24 and 26 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Continued Examination Under 37 CFR 1.114

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on March 23, 2007 has been entered.
2. Applicant's **Petition to Revive** was granted on May 31, 2007.
3. **Status of claims** – Applicant's amendments shows that claims 6-13, 16, 17, 22 24 and 26 are currently active for examination.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. **Claims 6, 16, 17, 22 & 24, are rejected** under 35 U.S.C. 103(a) as being unpatentable over Stein et al. (US Patent 5,978,779, hereafter Stein).

Re. Claims 6, 16, 22 & 24, Stein discloses a method, system, rules engine, apparatus and program storage device for processing a transaction containing an order for execution. Even though Stein does not exactly disclose Applicant's specific descriptions, Stein's method, system, device, apparatus and program storage device do cover Applicant's invention, with the method being exemplary, comprising the steps of:

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- accessing a plurality of rules, each rule having preset application scope specifying a source of transactions that a corresponding rule should apply to all transactions from the specified source (Col. 3, I. 23 – Col. 4, I. 24; Col. 2, II. 25-29, 39-43 covering a global financial services organization; Col. 11, I. 66 – Col. 12, I. 7; Stein uses the word “rules” and synonyms thereof such as the words “constraints”, “logic” and “protocols” interchangeably in Applicant’s meaning of “rules”); and
- checking transaction by first applying rules having application scope specifying a specific account, then rules having application scope specifying a specific registered representative level, then rules having application scope specifying a specific office, then rules having application scope specifying a specific firm and then rules having application scope applicable to transactions from all sources. (Hierarchical protection – Col. 7, II. 9-12; Internal and external/Governmental rules and relationships stored in the document library – Col. 5, I. 6-23).

It would have been obvious to an ordinary practitioner of the art at the time of Applicant’s invention to have used the disclosure of Stein to produce Applicant’s invention of a method, system, device, apparatus and program storage device for processing a transaction containing an order for execution, motivated by a desire to create a unified infrastructure for control and data transfer to a plurality of function and task specific applications (Stein, Col. 2, II. 18-21).

Re. Claim 17, Stein discloses compliance rules (Col. 5, II. 8-11).

5. Claims 7-13 are rejected under 35 U.S.C. 103(a) as being unpatentable over Stein in view of Official Notice.

Re. Claims 7-13, Stein does not explicitly disclose

Re. Claim 7, in which the assigned scope of application level specifies a specific account.

Re. Claim 8, in which the assigned scope of application specifies a specific registered representative.

Re. Claim 9, in which the assigned scope of application is level specifies a specific office.

Re. Claim 10, in which the assigned scope of application level specifies a specific firm.

Re. Claim 11, in which the assigned scope of application is set to the global level.

Re. Claim 12, in which a rule is accompanied by a message to be sent when a rule is violated.

Re. Claim 13, in which the text of said message can be changed by a user for a selected level.

However, the examiner takes Official Notice that these steps were well known at the time of Applicant's invention.

Therefore, it would have been obvious to an ordinary practitioner of the art at the time of Applicant's invention to have used the disclosure of Stein and Official Notice to produce Applicant's invention of a method, system, device, apparatus and program storage device for processing a transaction containing an order for execution, motivated by a desire to create a unified infrastructure for control and data transfer to a plurality of function and task specific applications (Stein, Col. 2, ll. 18-21).

6. **Claim 26 is rejected** under 35 U.S.C. 103(a) as being unpatentable over Stein in view of Lutnick et al. (US Patent 6,850,907 B2, hereafter Lutnick).

Re. Claim 26, Stein does not explicitly disclose user configurable parameters.

However, Lutnick discloses a hierarchy of participants who can control and limit the actions of other participants (Col. 32, ll. 17-19). It would have been obvious to an ordinary practitioner of the art to have seen this as disclosing as user configurable parameters. Therefore, it would have been obvious to an ordinary practitioner of the art at the time of Applicant's invention to have used the disclosure of Stein in combination with Lutnick to produce Applicant's invention of a method, system, device, apparatus and program storage device for processing a transaction containing an order for

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execution, motivated by a desire to create a unified infrastructure for control and data transfer to a plurality of function and task specific applications (Stein, Col. 2, ll. 18-21).

Response to Arguments

7. Applicant's arguments filed August 20, 2007 with respect to claims 6-8, 9-11, 16-17, 19, 22, 24 and 26 have been considered but are moot in view of the new ground(s) of rejection.

Conclusion

8. Any inquiry concerning this communication or earlier communications from the Examiner should be directed to Siegfried Chencinski whose telephone number is (571)272-6792. The Examiner can normally be reached Monday through Friday, 9am to 6pm.

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Kambiz Abdi, can be reached on (571) 272-6702.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Any response to this action should be mailed to:

Commissioner of Patents and Trademarks, Washington D.C. 20231

or (571)273-8300 [Official communications; including After Final communications labeled "Box AF"]

(571) 273-6792 [Informal/Draft communications, labeled "PROPOSED" or "DRAFT"]

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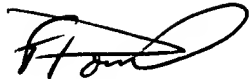
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Hand delivered responses should be brought to the address found on the above
USPTO web site in Alexandria, VA.

SEC

September 29, 2007


FRANTZY POINVIL
PRIMARY EXAMINER
Au 3692